



State of Montana
Department of Justice

Agency IT Plan
Fiscal Year 2012-2017

May 2012

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EXECUTIVE SUMMARY

The Montana Department of Justice Information Technology Services Division (JITSD) is committed to providing efficient and effective IT solutions to support the Department of Justice (DOJ) mission of pursuing activities and programs that seek to ensure and promote the public interest, safety, and well-being. JITSD's vision is "Four Rights" of the right information to the right person at the right time in order to make the right decision. JITSD's mission is to "Deliver proactive, business value-added IT solutions."

This Information Technology Plan demonstrates a commitment to fulfilling JITSD's vision and mission through effective and efficient implementation of information technologies in support of Justice systems and services. Our customers include Montana citizens along with a wide variety of federal, state and local agencies and offices that support and access justice systems and information.

In order to accomplish the Department's mission, it is vital that we increase information sharing and optimize the infrastructure. One aspect of doing this is to make sure we know where the data is and how it needs to be used. As such, we continue to map information and processes in order to maximize information and system efficiencies. As we implement new systems and maintain existing ones, we must continue to institutionalize security in order to ensure vital and personal information is protected. DOJ has the responsibility to uphold the public's trust in the information we collect, and JITSD recognizes the dual concerns of security and privacy. Security includes confidentiality, availability, and integrity of data. Privacy deals with protection of individual privacy and sensitive data. As part of the overall information sharing approach, data security and privacy issues must be addressed in a proactive way to ensure that each party involved in sharing is assured that the information they provide and consume is reliable, accurate, and protected from unauthorized disclosure and/or corruption.

Over the past biennium, JITSD has supported many systems and projects, to include, but not limited to, the following: Montana Highway Patrol Integrated Public Safety System (Smart Cop), Montana Enhanced Registration Licensing Integrated Network (MERLIN), the Montana Insurance Verification Systems (MTIVS), crash reporting, Integrated Justice Information System Broker (IJIS Broker), Criminal Justice Information Network (CJIN), GENTAX, Law Enforcement Telecommunications upgrades, Active Directory, HOPE card, Sexual and Violent Offender Registry/Web (SVOR/SVOW) and other projects.

New and continuing projects and initiatives for the next biennium include MERLIN phase 3, MTIVS completion, MHP in-car video replacement, and the start of DOJ Electronic Content Management (ECM). JITSD will continue with management initiatives that include increased IT governance, collaboration (internal to JITSD, with our customers and between DOJ divisions) and security.

As DOJ continues to leverage IT to support and improve mission effectiveness, successful and efficient management of IT is paramount.

SECTION 1: AGENCY ADMINISTRATIVE INFORMATION

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IT Inventory

The IT inventory database located at <http://mine.mt.gov/enterpriseitinventory> was or will be updated on 6/30/2012. As required by MCA 2-17-524(3)(c) the plan will be updated by June 30, 2012.

SECTION 2: AGENCY IT MISSION



Deliver proactive, business value-added IT solutions.

SECTION 3: AGENCY REQUIRED PROGRAMS

Information Security Management (ISM) Program General Description

The Department of Justice is implementing a department-wide (agency) information security management program compliant with §2-15-114, MCA, and State Information Technology Systems Division *Information Security Programs* policy with adoption of the National Institute of Standards and Technology (NIST) Special Publication 800 series as guides for establishing appropriate security procedures. This is in alignment with the State of Information Technology Service's direction for an enterprise approach to protect sensitive and critical information being housed and shared on State and/or external/commercial information assets or systems.

As described in NIST SP 800-39 the agency developed and adopted the Information Risk Management Strategy to guide the agency through information security lifecycle architecture with application of risk management. This structure provides a programmatic approach to reducing the level of risk to an acceptable level, while ensuring legal and regulatory mandates are met in accordance with §2-15-114, MCA.

The agency's program has four components, which interact with each other in a continuous improvement cycle. They are as follows:

- Risk Frame – Establishes the context for making risk-based decisions
- Risk Assessment – Addresses how the agency will assess risk within the context of the risk frame; identifying threats, harm, impact, vulnerabilities and likelihood of occurrence
- Risk Response – Addresses how the agency responds to risk once the level of risk is determined based on the results of the risk assessment; e.g., avoid, mitigate, accept risk, share or transfer
- Risk Monitoring – Addresses how the agency monitors risk over time; “Are we achieving desired outcomes?”

The agency's information security management program is challenged with limited resources; manpower and funding. While alternatives are reviewed and mitigation efforts are implemented, the level of acceptable risk is constantly challenged by the ever changing technology and associated risks from growing attacks and social structure changes. Specific vulnerabilities have been identified which require restructure, new equipment, or personnel positions (funds increase), and are addressed below in our future plans.

Future Security Program Plans

The JITSD security program objectives are to:

- Complete information security plans for DOJ's most critical systems.
- Engineer security into systems at the beginning of the project.
- Conduct periodic risk assessments.
- Develop and publish policies and procedures that are based on risk assessments.
- Conduct security awareness training.
- Conduct periodic testing and evaluation of the effectiveness of information security policies, procedures, practices, and controls.
- Develop a process for planning, implementing, evaluating, and documenting remedial actions.
- Develop procedures for detecting, reporting, and responding to security incidents.

Continuity of Operations (COOP) Capability Program General Description

On 5 May 2011 the Department of Justice teamed with the Department of Administration Continuity Services office to begin the development of a DOJ Continuity of Operations program. This program will develop plans and structure to facilitate response and recovery capability to ensure the continued performance of the State Essential Functions of Government. This program involves two blocks of focus. The first block, with two phases, is to complete the Business Continuity Plans (BCP). The second block works on the specific business processes or

activity plans such as Emergency Action Plans (EAP), Information System Contingency Plan (ISCP), Communications Plans, Incident Management Plans, etc. Expected completion of block 1 is 1 July 2013 and block 2 by 1 July 2015. However, various DOJ functions/products will be completed sooner than others during each phase. This program is not a standalone process insofar as information identified and recorded under this structure can and often does exist in the Records Management Program and ties in with Information Security Management Program requirements. Integration of these programs is critical to the confidentiality, integrity, and availability of information, which is associated with each program.

Future COOP Program Plans

Over this strategic period, DOJ plans to:

- Document orders of succession and delegation of authority.
- Identify services and processes (with coordination of State Security and Continuity Services).
 - Legal authorities
 - Key business cycles
 - Return to Operation objectives (RTO)
- Rank each service and process against the State Essential Functions (SEFs).
- Add services and processes to the State LDRPS System.

SECTION 4: AGENCY IT PLAN – GOALS & OBJECTIVES

Goal Number 1:

ITG 1 Share Information

Description: A tremendous quantity of information that should be shared is still not effectively shared and utilized among Justice communities of interest (JCOIs). The challenges of solving this problem include the inadequacy of existing information systems, lack of consistent policies, practices and standards, and the need to coordinate information sharing efforts. The key strategies for addressing this issue are discussed in the following objectives.

Benefits: The benefits are increased information to various JCOI users in order to make better timely decisions and take action which will in turn lead to greater public safety.

Supported State strategic goal(s) and/or objective(s): Goal 2 Objectives 1-3

Supporting Objective/Action

ITO 1-1 Map Justice information

Business Driver: JCOI information is located in various places internal and external to the state with few maps of where the information is, who owns it and how it is controlled.

Benefits: Systems will standardize on utilization of “authoritative” source(s) of information thereby reducing information duplication, increasing information accuracy, facilitating the improvement of workflows and processes, and decreasing system development time.

Risks: Risks of inaction are that the information location could change or not be current, and that inaccurate information could be propagated across multiple systems if standardization is not achieved. There is also a security risk inherent to completing this objective as all this information, consolidated in one place, if accessed by the wrong people, could point out areas of vulnerability thereby increasing the threat to Justice information and systems.

Timeframe: 36 months

Critical Success Factors: There will be a set of maps, maintained by the appropriate office, under configuration control, that are the correct authoritative source of information. During the implementation of this objective, information may be consolidated.

Supporting Objective/Action

ITO 1-2 Develop information sharing standards, protocols and policies

Business Driver: In order to exchange JCOI information and be efficient and effective, standards, protocols and policies must be established so that systems can exchange appropriate information.

Benefits: This objective will allow increased system interoperability and more rapid development as system developers will have a set of standards to follow.

Risks: Completing this objective will involve collaborative development of standards, protocols, policies, and priorities, and disagreement among steering committee members may hamper completion of the work involved.

Timeframe: 24 months

Critical Success Factors: There will be a JCOI agreed set of standards, protocols and policies.

Goal Number 2:

ITG 2 Deliver business solutions

Description: IT supports and enables the Justice business. Therefore IT investments and projects should be aligned and prioritized in a cooperative agreement between the business units and IT.

Benefits: What benefits are realized and who realizes the benefits? DOJ and JCOI will be more efficient and effective and therefore Montana citizens will be more informed and safer.

Supported State strategic goal(s) and/or objective(s): Goals 3 and 5

Supporting Objective/Action

ITO 2-1 Align IT governance to meet business needs

Business Driver: IT investments should be driven by business needs. In order to make smart decisions, a collective group of business and IT leaders need to make decisions for the good of the Department and JCOIs.

Benefits: IT investments and support will be aligned with department needs, and approved, prioritized, and supported by business leaders.

Risks: During the alignment process, there may be disagreement leading to longer decision times on resource allocation. However, this outweighs the risk of attempting to resolve resource conflicts independently of customer input and support.

What is the timeframe for completion of this objective? This will be a continuous process throughout the life of the plan and individual portions, as needed, will be completed sooner than others.

Critical Success Factors: There will be a DOJ IT capital and/or project planning governance body and charter in place within 6 months that will govern IT investments and project alignment. Other success criteria will be value added governance in place that increases value to the customer and support policy fulfillment requirements.

Supporting Objective/Action

ITO 2-2 Map Justice processes

Business Driver: IT solutions should be applied to business processes. In order to do this, justice processes should be mapped and IT solutions applied only if a business case can be justified and approved by an IT Steering Committee.

Benefits: Opportunities for process integration may be readily identified and where processes overlap, efficiencies will occur through process improvement and/or system and/or software code reuse.

Risks: Process mapping will take time and could receive pushback from employees. In addition, incorrect mapping could lead to incorrect system design which could lead to rework, errors and increased project timelines.

Timeframe: This is an on-going objective as processes will be continuously improved and priorities may shift depending on needs and timing.

Critical Success Factors: All major Justice business processes are mapped, controlled and improved and IT solutions are applied where they make the best business sense.

Supporting Objective/Action

ITO 2-3 Build and leverage partnerships

Business Driver: No IT organization can do everything for everyone. Therefore various government and private industry partners must be leveraged in order to accomplish IT projects and tasks or provide services.

Benefits: DOJ IT can concentrate on core competencies and leverage partners for other tasks in order to

accomplish more work.

Risks: Partners may not place as high a value on DOJ projects and systems and therefore service may be degraded.

Timeframe: This objective will continue throughout the life of this plan.

Critical Success Factors: The appropriate projects/tasks/services have been assigned to partners under contract or by agreements.

Supporting Objective/Action

ITO 2-4 Implement electronic records management at the enterprise level

Business Driver: Establish the infrastructure and processes (document imaging, storage and retrieval) for electronic records management to create efficient electronic real-time access to documents.

Benefits: Current business systems and processes will be supported at some agreed level as determined by the IT Steering Committee.

Risks: Known and understood support levels will manage expectations for customer/users as well as IT staff and decrease stress all around.

Timeframe: This objective will continue throughout the life of this plan.

Critical Success Factors: Current system support will be supported as defined by the IT Steering Committee.

Goal Number 3:

ITG 3 Optimize infrastructure

Description: IT infrastructure needs to be consolidated and reused where possible in order to eliminate waste and improve IT and business efficiency.

Benefits: Efficient use of money and people resources and the ability to efficiently change or grow structure and capacity as needed to serve future needs.

Supported State strategic goal(s) and/or objective(s): Goal 1 Objective 1-4

Supporting Objective/Action

ITO 3-1 Standardize, Consolidate and Integrate

Business Driver: Various systems exist and do not follow standards and they are duplicated and not integrated, thereby requiring additional resources to support them.

Benefits: More efficient utilization of IT resources, better integration of systems, and a systems portfolio that may be more effectively supported and enhanced as needed.

Risks: The risk of inaction is increased complexity of system and thereby possibly lower quality of service and security and an increased cost to support all the variations.

Timeframe: This objective will continue throughout the life of this plan.

Critical Success Factors: There will be approved and followed DOJ IT standards and 25% of the DOJ infrastructure will have been consolidated and/or eliminated.

Supporting Objective/Action

ITO 3-2 Maintain current systems

Business Driver: Current systems need to maintained at some level in order to support current business.

Benefits: Current business systems and processes will be supported at some agreed level as determined by

the IT Steering Committee. Support levels will be known, advertised and customer expectations managed.

Risks: Known and understood support levels will manage expectations for customer/users as well as IT staff and decrease stress all around.

Timeframe: This objective will continue throughout the life of this plan.

Critical Success Factors: Current system support will be supported as defined by the IT Steering Committee.

Goal Number 4:

ITG 4 Strengthen IT security

Description: Because of the type of information that is available on and via DOJ networks and systems, DOJ has some of the highest security requirements of all Montana agencies. As such, security must be a high priority for the agency.

Benefits: What benefits are realized and who realizes the benefits? Benefits include confidentiality of information and increased system availability. Strong security will protect the confidentiality of DOJ information and will provide those who use this information the ability to efficiently access it for use in order to provide their services to the public.

Supported State strategic goal(s) and/or objective(s): Goal 4 Objectives 1-3

Supporting Objective/Action

ITO 4-1 Assure trusted and resilient systems and information

Business Driver: IT systems that house business information and the infrastructure that provides access to this information need to be secure and resilient in order to ensure the information is accurate, accessible, and only authorized personnel access information.

Benefits: Information will be secure, accurate, and available.

Risks: If this objective is not completed, the risk of unauthorized access to information and system degradation due to system exploitation will increase.

Timeframe: This is on-going for the life of the plan.

Critical Success Factors: This objective will continue throughout the life of the plan. Success will be measured by system downtime due to outages caused by malicious people and unplanned outages. In addition unauthorized system/information access will be zero.

Supporting Objective/Action

ITO 4-2 Implement Identity Management

Business Driver: There is a need for DOJ to develop risk-based and cost-effective solutions for enabling secure access to DOJ facilities, systems and information. Federal and State drivers require DOJ to define a roadmap and guidance for identity, credential and access management.

Benefits: Information and systems will be more secure.

Risks: The risk to completing this objective is time and money. It is not fully understood what existing and new drivers are present and once uncovered may require resources that are unavailable. This risk can be mitigated in part through collaborative planning.

Timeframe: 36 months.

Critical Success Factors: There will be an identity management program and roadmap in place.

Supporting Objective/Action

ITO 4-3 Institutionalize IT security

Business Driver: Two of the biggest reasons for security incidents are lack of education for IT professionals, customers and users, and inside threats.

Benefits: System and information will be more secure as the education level is raised.

Risks: The risk of not completing this objective will be people's reluctance and/or apathy toward security and training.

Timeframe: This objective will be continuous.

Critical Success Factors: The percentage of personnel trained will increase. The number of security incidents will decrease and the nature of security incidents will become less severe.

Goal Number 5:

ITG 5 Strengthen management of IT

Description: DOJ IT must continue to strengthen the management of IT in order to allow DOJ business performance improvements through the use of information technology. DOJ IT must attract and retain well-qualified IT professionals, effectively collaborate across the Department and utilize industry standard practices, processes, and tools.

Benefits: What benefits are realized and who realizes the benefits? The benefits are improved quality and efficiency of IT services and systems supporting DOJ businesses.

Supported State strategic goal(s) and/or objective(s): Goal 1 Objective 2 -3 and Goal 5

Supporting Objective/Action

ITO 5-1 Attract and retain a skilled IT workforce

Business Driver: In order to have secure IT systems that support DOJ businesses, DOJ must have highly skilled people to design, acquire, install, operate and manage the systems. A highly skilled workforce will ensure this happens in an effective and efficient manner.

Benefits: Better IT systems to support DOJ businesses.

Risks: The primary risk of not attracting and retaining a skilled workforce is that DOJ will not be able to field systems and infrastructure that effectively supports its customers.

Timeframe: This is on-going for the life of the plan.

Critical Success Factors: Employee education, experience and retention, system availability and customer satisfaction will increase.

Supporting Objective/Action

ITO 5-2 Increase collaboration (internal and external)

Business Driver: Information sharing and collaboration is needed to develop better ideas and efficiently work projects and tasks.

Benefits: There will be increased communication and knowledge sharing which will positively impact projects and other initiatives through reduced timelines, reduced errors and rework, and closer attention to specific customer needs and business opportunities.

Risks: The major risk to completing this objective is having the tools available, the will of the people to share information, and the process/standards defined in order to make it work properly. The risk of not increasing staff and customer collaboration is that future initiatives, e.g. system development work, will not meet the needs of DOJ's customers.

Timeframe: This is on-going for the life of the plan.

Critical Success Factors: This will be measured by IT staff and customer opinion.

Supporting Objective/Action

ITO 5-3 Improve IT governance discipline

Business Driver: Governance is the set of processes, policies and bodies (committees, boards, etc.) affecting the way an organization is directed, administered or controlled. All IT activities should fall under some part of a process, policy or body and be defined, followed, measured and improved. If this does not happen, IT, as a whole, will be neither effective nor efficient.

Benefits: IT processes, policies and bodies will be defined, followed, measured and improved, thereby improving IT service and systems in support of DOJ businesses.

Risks: The major risk of working toward this objective is that many people don't like change. This objective will require some change that people may feel infringes on their way of doing things, which they may think is a better way, and therefore takes them out of their comfort zone.

Timeframe: This is on-going for the life of the plan.

Critical Success Factors: This objective is ongoing with the measurable goal of continuous improvement in customer satisfaction with our work products and service, and with internal staff and leadership satisfaction with the JITSD work culture.

Supporting Objective/Action

ITO 5-4 Utilize project management techniques

Business Driver: Utilize project management tools and techniques based on the Project Management Institute's Project Management Body of Knowledge (PMBOK) to lower risk and improve communications on IT projects.

Benefits: Plan, manage, and deliver IT projects that meet customer expectations and are on-time and on-budget. Lower risk and better communications.

Risks: Projects without adequate project management are at high risk of failure, cost and schedule overruns.

Timeframe: ongoing

Critical Success Factors: Successful projects, on-time and on-budget that meet customer expectations.

SECTION 5: IT INITIATIVES (FY2012 – FY 2017)

Initiative 1 - Title: MERLIN (Montana Enhanced Registration and Licensing Information Network)

Description: MERLIN revolutionizes the way motor vehicle and driver licensing services are provided in Montana by automating various aspects of the business. Montana manages more than 1.75 million titled vehicles records within the MERLIN system. The system also supports the annual task of providing titles for 470,000 vehicles, registration of 1 million vehicles, and licenses for more than 162,000 drivers. Integrated MERLIN Title, Registration, Dealer Licensing, and most Accounting functions are already completed and in an operations and maintenance mode. The final (Phase 3) portion of MERLIN functionalities to be completed focuses on Driver Services, expected to be completed within this timeframe. The MERLIN system includes electronic commerce applications delivered through the state portal, partnering with Montana Interactive.

EPP Number (if applicable):

Initiative 2 - Title: MTIVS (Montana Title Insurance Verification System)

Description: MTIVS is a system that allows law enforcement, courts, MVD, and other authorized users to determine if a Montana motorist has (or has had) valid insurance for their vehicle(s) roadside, and within investigative and court processes, and in support of the vehicle registration process. When fully deployed, MTIVS will deliver insurance verification data via the MTIVS.com web site, and through integration with the CJIN and MERLIN systems operations.

EPP Number (if applicable):

Initiative 3 - Title: SmartCop

Description: SmartCop provides an integrated information system for the Montana Highway Patrol (MHP) dispatch and patrol. It includes software, hardware and services to support dispatch operations and an in-car mobile solution including a laptop, printer, card reader, wireless connection and various other equipment. SmartCop is in operations and maintenance mode, which includes equipment and software refresh and upgrades in order to ensure high quality system operation. The use of SmartCop will expand to include Fish, Wildlife and Parks Game Wardens and Montana Department of Transportation Motor Carrier Services officers.

EPP Number (if applicable):

Initiative 4 - Title: IJIS (Integrated Justice Information System) Broker

Description: The IJIS Broker is vital to public safety because it creates the exchanges that allow a wide range of agencies and systems to share real-time information quickly, securely and accurately. As more exchanges are established, more information is available that could be critical to public safety. Currently the IJIS Broker is in operations and maintenance mode which includes equipment and software refresh and upgrades in order to ensure high quality system operation. Additional enhancements are in planning with the Office of the Court Administrator, Department of Corrections, Montana Department of Transportation, as well as the DOJ Motor Vehicle Division and Office of Victim Services.

EPP Number (if applicable):

Initiative 5 - Title: CJIN (Criminal Justice Information Network)

Description: CJIN provides access to criminal justice information to support various justice missions in order to increase public safety. CJIN is in operations and maintenance mode that includes equipment and software refresh and upgrades in order to ensure high quality system operation. An initiative is underway to update the existing system to support clients connecting via the Internet for the purposes of running Criminal Justice Information System-related transactions. It is anticipated that the number of CJIN users across Montana will increase, and associated network operating cost borne by users will decrease.

EPP Number (if applicable):

Initiative 6 - Title: MHP in-car Video Replacement

Description: MHP in-car video cameras improve officer safety, enhance agency accountability, and assist in securing prosecutions. The current video system is at end of life and replacement is required. Utilizing the Western States Contracting Alliance (WSCA) cooperative purchasing, MHP selected a solid-state digital video recording system, compatible with the MHP Toughbook mobile computer currently in use from Panasonic. This is a true end-to-end solution for not just recording video, but storing, organizing and accessing video. The ability to manage and transfer all video evidence digitally will replace boxes full of DVDs and offer a higher level of integrity in managing the chain of evidence. The media files stored on Panasonic memory cards are proprietary and secure, so evidence cannot be changed or distributed without proper permissions. Videos can be transferred directly from patrol cars to MHP servers, using wireless Internet hotspots.

EPP Number (if applicable):

Initiative 7 - Title: MVD Driver Document Management System (DDMS) Replacement

Description: Replacement of the obsolete MVD DDMS (Intellinetics / IntelliVUE) imaging system that uses application technology no longer supported and running on a standalone file server over 10 years old. With the replacement, MVD seeks a scalable application that includes workflow, automated forms processing and collection, e-mail and fax interfaces, remote scanning and indexing, and newer forms of electronic information collection (smartphones, tablets, etc). The new ECM imaging solution will support approximately 24 different document types (license applications, renewals, letters from customers, special judgments, convictions, etc) currently imaged for drivers, while also supporting driver improvement letters which are currently printed from the Driver Control System (DCS), an IBM mainframe system, and then scanned and manually imaged into IntelliVUE. This initiative may also be expanded to support other DOJ Enterprise Content Management (ECM) requirements.

EPP Number (if applicable):

SECTION 6: ENTERPRISE ALIGNMENT

Communities of Interest Participation

☐ Government Services

☒ Public Safety

☐ Human Resources

☐ Environmental

☐ Education

☐ Economic

☐ Cultural Affairs

☐ Finance

SECTION 7: PLANNED AGENCY IT EXPENDITURES

SECTION 8: ADDITIONAL INFORMATION - OPTIONAL

Other types of information that support the agency's IT Plan. Some examples might include other COI participation, reference to other IT plans such as GIS plan, eGovernment plan, security plan, staffing issues and constraints, etc.